

## 證券商經理人、部門主管、分支機構及簡易分支機構負責人登記表 Securities Firm Managers, Department Heads, Branch Offices and Simple Branch Offices Responsible Persons Registration Form

茲將本公司經理人、部門主管、分支機構及簡易分支機構負責人應行申報變更登記事項列表如下：

The list of amendments to registration items that this Company's managers, department heads, responsible persons of branch offices and simple branch offices are required to declare is as follows:

證券商代號及名稱 Code and name of securities firm					
姓名 Name		登記職稱 Registered title	<input type="checkbox"/> 總經理 Managing director & CEO	<input type="checkbox"/> 分支機構經理人 Branch offices manager	職稱為副總經理、協理、經理、主管之負責部門 Name of the department headed by a senior executive vice president, assistant manager, manager or department head
任職日期 Employment start date (登記總經理者空白) (Blank for registered Managing director & CEO)			<input type="checkbox"/> 副總經理 Senior executive vice president	<input type="checkbox"/> 簡易分支機構經理人 Simple branch offices manager	
		<input type="checkbox"/> 協理 Assistant manager	<input type="checkbox"/> 分支機構受託買賣主管 Branch offices head of brokerage services	<input type="checkbox"/> 自行買賣 Proprietary trading	
		<input type="checkbox"/> 經理 Manager	<input type="checkbox"/> 分支機構交割部門主管 Branch offices head of Settlement Department	<input type="checkbox"/> 受託買賣 Brokerage services	
		<input type="checkbox"/> 主管 Department head		<input type="checkbox"/> 結算交割 Clearing and settlement	
				<input type="checkbox"/> 內部稽核 Internal audit	
				<input type="checkbox"/> 股務 Stock affairs	
				<input type="checkbox"/> 財務 Finance	
				<input type="checkbox"/> 其他 Others	
國民身分證統一編號 National ID Number			最高學歷 Highest academic qualification		
電話住址 Telephone and residential address					
積極資格審查結果 Positive qualification review results		具備高級業務員資格 Possesses senior securities specialist qualifications <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No			
		核符證券商負責人與業務人員管理規則第 條第 款之積極資格規定。 Meets positive qualifications specified in Article __, Paragraph __ of the Regulations Governing Responsible Persons and Associated Persons of Securities Firms.			

經歷 Experience	服務機關名稱 Name of service agency	職稱 Title	部門 Department	任職起迄日期 Duration of employment	備註 Remark(s)
(需檢具經歷證明文件) (Must submit documentary proof of experience)					
<p>上案申請登記，業經本公司審查核符規定 The above application for registration has been reviewed by the Company and was determined to be in compliance with regulations.</p> <p>此致 Respectfully submitted to, 金融監督管理委員會 Financial Supervisory Commission</p> <p>公司名稱： Company name: 負責人： Person in charge:</p> <p style="text-align: right;">申請日期 中華民國__年__月__日 Application date _____ (mm/dd/yyyy)</p>					

1、消極資格條件：經理人、部門主管、分支機構及簡易分支機構負責人應無公司法第 30 條及證券交易法第 53 條或證券交易法第 54 條規定之情事，並應附具有關聲明文件。

Negative qualification criteria: Managers, department heads, responsible persons of branch offices and simple branch offices must not exhibit any of the circumstances specified in Article 30 of the Company Act and Articles 53 and 54 of the Securities and Exchange Act, and shall submit related declaration documents.

2、積極資格條件：經理人、部門主管、分支機構及簡易分支機構負責人應符合證券商負責人與業務人員管理規則第 8 條至第 10 條所訂有關之積極資格條件，並應附具相關學歷證明文件。

Positive qualification criteria: Managers, department heads, responsible persons of branch offices and simple branch offices must meet the positive qualification criteria specified in Articles 8 to 10 of the Regulations Governing Responsible Persons and Associated Persons of Securities Firms, and shall submit documentary proof of academic background and experience.